



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: LAWRENCE et al.

Application No.: 09/812,627

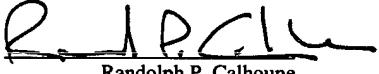
Filing Date: March 20, 2001

For: AUTOMATED GLOBAL RISK  
MANAGEMENT

- ) Group Art Unit: 3624
- )
- ) Examiner: Subramanian, Narayanswamy
- )
- ) **INFORMATION DISCLOSURE**
- ) **STATEMENT**
- )
- ) Attorney Docket No.: G08.124
- )
- ) **PTO Customer Number 28062**
- ) Buckley, Maschoff & Talwalkar LLC
- ) Five Elm Street
- ) New Canaan, CT 06840
- )
- )

## CERTIFICATE OF MAILING UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on February 15, 2006.

Dated: February 15, 2006 By:  
Randolph P. Calhoun

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- under 37 CFR 1.97(b);  
(within 3 months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- under 37 CFR 1.97(c) together with either a:
  - Statement under 37 CFR 1.97(e), or
  - \$180 fee under 37 CFR 17(p); or

(after 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

- under 37 CFR 1.97(d) together with a:
- Statement under 37 CFR 1.97(e),
  - Petition under 37 CFR 1.97(d)(2)(ii), and
  - \$ petition fee under 37 CFR 17(i).

(after 37 CFR 1.97(c) time period, but before payment of issue fee)

Applicants submit herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a thorough search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Nor shall the filing of this information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 CFR §§1.56, 1.97 and 1.98. The items listed on the accompanying Form PTO-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items listed on the enclosed copy of Form PTO-1449 and to independently ascertain their teaching.

Respectfully submitted,

February 15, 2006  
Date



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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Complete if Known	
Application Number	09/812,627
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First Named Inventor	LAWRENCE, David
Group Art Unit	3624
Examiner Name	Subramanian, Narayanswamy
Attorney Docket Number	G08.124

### U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		6,021,397		Jones et al.	02/01/00	
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		2002/0032646		Sweeney et al.	01/21/00	
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		6,078,904		Rebane	06/20/00	
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		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
		JP	020000020618	A	Yamazaki et al.	01/21/00		
		WO	00/75836	A2	Coppola	12/14/00		
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		EP	1 137 209		Stetzler	09/26/01		
		EP	1 143 365		Bader et al.	10/01/01		
		JP	0200350896	A		08/08/01		

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				First Named Inventor	LAWRENCE, David
				Group Art Unit	3624
				Examiner Name	Subramanian, Narayanswamy
Sheet	2	of	7	Attorney Docket Number	G08.124

### OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Co-Pending U.S. Patent Application Serial No. 09/772,427, Applicant Lawrence, filed 01/30/01. Applicant would be pleased to supply a copy of the application to the examiner upon request.	
		Co-Pending U.S. Patent Application Serial No. 09/812,628, Applicant Lawrence, filed 03/20/01. Applicant would be pleased to supply a copy of the application to the examiner upon request.	
		Co-Pending U.S. Patent Application Serial No. 09/825,470, Applicant Lawrence, filed 04/02/01. Applicant would be pleased to supply a copy of the application to the examiner upon request.	
		Co-Pending U.S. Patent Application Serial No. 09/919,413, Applicant Lawrence, filed 07/31/01. Applicant would be pleased to supply a copy of the application to the examiner upon request.	
		Co-Pending U.S. Patent Application Serial No. 09/974,212, Applicant Lawrence, filed 10/09/01. Applicant would be pleased to supply a copy of the application to the examiner upon request.	

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		2002/0019804		Sutton	2/14/02	
		2002/0099640		Lange	07/25/02	
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		5,940,843		Zucknovich et al.	08/17/99	
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		6,249,770		Erwin et al.	06/19/01	
		6,205,433		Boesch et al.	03/20/01	
		5,878,400		Carter, III	03/02/99	
		5,963,923		Garber	10/05/99	
		5,787,402		Potter et al.	07/28/98	
		5,557,518		Rosen	09/17/96	
		6,018,723		Siegel et al.	01/25/00	
		4,326,259		Cooper et al.	04/20/82	
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		4,597,046		Musmanno et al.	06/24/86	
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		4,734,564		Boston et al.	03/29/88	
		4,736,294		Gill et al.	04/05/88	
		4,773,663		Musmanno et al.	09/27/88	

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		4,774,664		Campbell et al.	09/27/88	
		4,812,628		Boston et al.	03/14/89	
		5,025,138		Cuervo	06/19/91	
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		2002/0091706		Anderson et al.	07/02	
		2003/0069894	A1	Colter et al.	04/10/03	
		2003/0074272	A1	Knegendorf et al.	4/17/03	
		4,924,587		Clouse	04/03/90	
		4,953,085		Atkins	08/28/90	
		4,989,141		Lyons et al.	01/29/91	
		5,038,284		Kramer	08/06/91	
		5,161,103		Kosaka et al.	11/03/92	
		5,210,687		Wolfberg et al.	05/11/93	
		5,239,462		Jones et al.	08/24/83	
		5,274,547		Zoffel et al.	12/28/93	

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		5,323,315		Highbloom	06/21/94	
		5,398,300		Levey	03/14/95	
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		5,457,305		Akel et al.	10/10/95	
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		2002/0016854		Hirasawa et al.	02/07/02	
		6,393,423		Goedken	05/21/02	
		5,347,632		Filepp et al.	09/14/94	
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		6,330,546		Gopinathan et al.	12/11/01	
		6,456,984		Demoff et al.	09/24/02	
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